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PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Docket No: Q66676

Toshiaki KUNIYASU, et al.

Appln. No.: 09/973,814

Group Art Unit: 2828

Confirmation No.: 7822

Examiner: James W. DAVIE

Filed: October 11, 2001

For: SEMICONDUCTOR LASER DEVICE WITH A CURRENT NON-INJECTION REGION
NEAR A RESONATOR END FACE, AND FABRICATION METHOD THEREOF

INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. §§ 1.97 and 1.98

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure under 37 C.F.R. § 1.56, Applicants hereby notify the U.S. Patent and Trademark Office of the documents which are listed on the attached PTO/SB/08 A & B (modified) form and/or listed herein and which the Examiner may deem material to patentability of the claims of the above-identified application.

One copy of each of the listed documents is submitted herewith.

The present Information Disclosure Statement is being filed after the later of three months from the application's filing date and the mailing date of the first Office Action on the merits, but before a Final Office Action, Notice of Allowance, or an action that otherwise closes prosecution in the application (whichever is earlier), and therefore Applicants are filing

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Attorney Docket No.: Q66676

concurrently herewith a Statement Under 37 C.F.R. § 1.97(e). No fee under 37 C.F.R. § 1.17(p) is required.

The present Information Disclosure Statement is being filed thirty days or fewer from the communication from a foreign patent office and a Statement Under 37 C.F.R. § 1.704(d) is attached.

In compliance with the concise explanation requirement under 37 C.F.R. § 1.98(a)(3) for foreign language documents, Applicants enclose herewith a copy of a Communication from a foreign patent office in a counterpart application citing such documents, together with an English-language version (if not already included) of at least that portion of the Communication indicating the degree of relevance found by the foreign patent office. Applicant submits that all documents listed on the Communication, but not listed on the enclosed PTO 1449 form, were submitted in the Information Disclosure Statement filed on January 29, 2004.

The submission of the listed documents is not intended as an admission that any such document constitutes prior art against the claims of the present application. Applicants do not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application.

The USPTO is directed and authorized to charge all required fees, except for the Issue Fee and the Publication Fee, to Deposit Account No. 19-4880. Please also credit any

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overpayments to said Deposit Account. A duplicate copy of this paper is attached.

Respectfully submitted,

Allison M. Tulino

Allison M. Tulino
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Date: March 30, 2004

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WASHINGTON OFFICE

23373

CUSTOMER NUMBER

Substitute for Form 1449 A & B/PTO				Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>				Application Number	09/973,814
				Confirmation Number	7822
				Filing Date	October 11, 2001
				First Named Inventor	Toshiaki KUNIYASU
				Art Unit	2828
				Examiner Name	James W. DAVIE
Sheet	1	of	1	Attorney Docket Number	Q66676

U.S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city, and/or country where published.	Translation ⁶
		Patent Abstracts of Japan, vol. 2000, no. 07, 2000101198, April 7, 2000.	
		M. SAGAWA et al. "Highly reliable operation of high-power 0.98-μm InGaAs/InGaAsP lasers with a window structure fabricated by Si implantation", SEMICONDUCTOR LASER CONFERENCE, 1998 IEEE 16 th International Nara, October 4, 1998	
		S. RUSLI et al. "1 W CW reliable $\lambda = 730\text{nm}$ aluminum-free active layer diode laser", ELECTRONICS LETTERS, vol. 36, no. 7, March 30, 2004	
		Toshiaki FUKUNAGA et al.. "High-Power 0.8 μm InGaAsP/InGaP/AIGaAs Single Quantum Well Lasers with Tensile-Strained InGaP Barriers XP 001096289, Japanese Journal of Applied Physics, vol. 38, no. 4A, April 1, 1999	

Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Applicant's unique citation designation number (optional). ²See Kind Codes of USPTO Patent Documents at www.uspto.gov, MPEP 901.04 or in the comment box of this document. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST. 3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to indicate here if English language Translation is attached.

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STATEMENT UNDER 37 C.F.R. § 1.97(e)

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

The undersigned hereby states, upon information and belief:

That each item of information contained in the Information Disclosure Statement filed concurrently herewith was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of said Information Disclosure Statement.

Respectfully submitted,

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Sir:

The undersigned hereby states, upon information and belief:

That each item of information contained in the Information Disclosure Statement filed concurrently herewith was cited in a communication from a foreign patent office in a counterpart foreign application, and that the communication was not received by any individual designated in 37 C.F.R. § 1.56(c) more than thirty days prior to the filing of said Information Disclosure Statement.

Respectfully submitted,



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